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72-5862/4

2 February 1973

IG - R & D.

MEMORANDUM FOR: Inspector General

SUBJECT : IG Survey of the Office of Research and Development

I have reviewed the IG Survey of the Office of Research and Development, the comments of the DD/S&T on it, and the recommendations made therein. I realize that the change of management of the Office has brought about a number of changes in the procedures there. I welcome these changes, which seem clearly aimed at more efficiently organizing our R&D effort, especially in the exploratory field, and in increasing the degree of cooperation with other elements of the Agency also concerned with R&D. I express my full support of a vigorous R&D program and am glad to see the positive reactions of the DD/S&T to the points raised in the IG's Survey. This Survey is therefore closed.

Richard Helms

Richard Helms
Director

cc: DD/S&T

WEC:blp/sfc

Distribution:

Original - Addressee

1 - ER

1 - DDS&T

IG - R & D

Executive Registry

72-5862/3

IG/R+D

26 January 1973

MEMORANDUM FOR: Executive Director-Comptroller

SUBJECT : Comments on the IG Survey of the
Office of Research and Development

REFERENCE : DDS&T Memorandum of 17 January 1973
to the Executive Director-Comptroller,
same subject (ER 72-5862/2)

We have reviewed the ORD comments pertaining to action taken in response to recommendations made in the October 1972 IG survey. The statements made as to actions taken or planned in response to each IG recommendation are in our view highly satisfactory and we believe the changes made and in process will improve the overall performance of ORD and contribute to a better relationship between ORD and other Agency components engaged in R&D work.

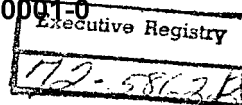
((Signed)) William V. Broe

William V. Broe
Inspector General

IG/R+D

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72-5862/3

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19 JAN 1973

DDS&T-183-73


IG/R&D

MEMORANDUM FOR: Executive Director-Comptroller

SUBJECT: Comments on the IG Survey of the Office of
Research and Development

REFERENCE: ExDir-Compt Memorandum, Same Subject, dated
14 November 1972

Attached are our comments on the October 1972 Inspector General report. As you can see, most of the recommendations upon which we could act have been implemented in one fashion or another. All represent changes which I believe will improve the performance of ORD.

for 
Carl D. Duckett
Deputy Director
for
Science and Technology

Attachments: As Stated

IG/R&D

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Executive Registry

72-5862/2

IG/R+D.

DDS&T-183-73

19 JAN 1973

MEMORANDUM FOR: Executive Director-Comptroller

SUBJECT: Comments on the IG Survey of the Office of
Research and DevelopmentREFERENCE: ExDir-Compt Memorandum, Same Subject, dated
14 November 1972

Attached are our comments on the October 1972 Inspector General report. As you can see, most of the recommendations upon which we could act have been implemented in one fashion or another. All represent changes which I believe will improve the performance of ORD.

For:

Carl D. Duckett
Deputy Director
for
Science and Technology

25X1A

Attachments: As Stated

Distribution:

Original & 1 - ExDir-Compt

1 - ER

1 - D/ORD

DDS&T Registry

mac/6561(19 Jan 73)

O/DDS&T/

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IG/R+D

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SECRETInspector General Survey Comments by ORD

Subsequent to the period covered by the IG study, the formal organization of ORD underwent considerable change. This was incident to the retirement of the original Director of the Office and the appointment of a new Director.

The new Director instituted a number of major changes based on personal observation and involvement, on preliminary discussions with the IG survey team concerning their recommendations for changes, and on discussions reflecting the desires of DDS&T management relative to the mission and operation of the Office. The 8 March 1972 memorandum of the Executive Director-Comptroller and recent understandings on the manner in which ORD's budget will be established and its performance evaluated have provided additional guidance. Strengthening this more clearly defined role for ORD has been a major consideration in all the subsequent organizational changes.

A management policy has been instituted which is intended to increase the direction and control by the office of the Director. Direct management concern with operations at all levels within ORD should have a substantial impact on many of the problems identified in the IG report. In some cases, such as property management and career service matters, specific steps have already been taken. It is believed likely that improvements in other areas such as security, housekeeping, and responsible use of the library will occur as a result of a fundamental change in management policy which demonstrates concern about such matters.

Those changes which have been made are generally aimed at institutionalizing certain mechanisms of Office and project management and in regularizing the procedures used to plan programs. These emphasize the exploratory development role of ORD and are designed to develop a single Office strategy. Included in these changes was a basic management reorganization, aimed at reducing duplication, strengthening programming and planning functions, and creating specific mechanisms to handle tasks not performed in the past.

The number of divisions was reduced from eight to five. A group was established responsible for program analysis and planning led by a senior officer and including the finance officer. The two small life sciences divisions were combined into a single unit. Clear functional lines delineated the substantive responsibilities of the divisions. A Projects Division was set up to provide systems

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integration to major projects. This should preserve the exploratory nature of the work done in the principal divisions and smooth the process of project transition. Attachment 1 shows the new organizational breakdown of the Office.

The creation of a Program Analysis Staff with greatly increased attention to the planning and programming process has already had a major impact. The Office is now in a position to begin laying out an integrated program defined by requirements. The Programs Analysis Staff has also played a major role in regularizing and implementing planning decisions.

Planning decisions now evolve from joint sessions in which all divisions participate. Proposed R&D efforts are subject to the review of all participants and the detailed ORD program plan is distributed to all elements of the Office. This approach has gone far in eliminating the crippling divisional parochialism noted in the IG report.

Additionally a Projects Review Board responsible to review the implementation of program plans and the letting of external contracts by the divisions has been instituted.

Great attention is paid to defining program goals which will provide a basis for subsequent program evaluation. Historical reviews of project actions will include an evaluation of contractor and project officer performance. In addition, a yearly report will be prepared by ORD which will review its performance against the specific goals and provide a basis for an evaluation of the year's use of resources.

In general, these changes have been well received at the working level. Morale appears high. Other changes will undoubtedly be made in the future and some of those already made may be abandoned. A foundation for increasing the effectiveness of the Office and enhancing its contribution has hopefully been established.

Specific responses to the recommendations of the IG Study are presented in the following paragraphs:

Recommendation No. 1

That the DD/S&T have a review made of the Contract Information System to determine if its content can be expanded or otherwise revised so as to make unnecessary the continuation of ORD's Contract Management System.

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The ORD computer management system (ADEPT) was an experimental one and in August 1972 it was discontinued. Since then full use has been made of the CIS. An overall revision of the CIS is currently underway. Hopefully, this effort will result in a more refined system with broader scope and greater user flexibility not only in ORD but in other Agency components engaged in R&D as well.

Recommendation No. 2

That the DD/S&T take the initiative in exploring with the DDS and the DDI the feasibility of combining the three libraries in Ames Center Building and operating them as a branch of the main library.

The ORD Library is in a vaulted area because of the security classification of many of its holdings. To relocate the ORD library or to expand its size to accommodate a consolidation with the other libraries at Ames will be costly. Nevertheless, discussions will be held with the Offices of Logistics and Communications and the Main Library about the possibilities of consolidating these facilities.

Recommendation No. 3

That the DD/S&T take the initiative in exploring with the other Deputy Directors the feasibility of an expansion of rotation of technical officers among the various Agency technical offices.

To some extent ORD has served as a training ground for quite a few of the Agency's scientific personnel. There have been at least [] who have been rotated in or out of ORD on a PCS basis since its inception, plus [] employees who have been involved in TDY assignments varying in length from two months to over two years.

The DD/S&T also has the topic of rotation and reassignment under discussion at the present time and is attempting to devise a more effective means for assignment of DDS&T technical officers to other components within DDS&T and to other Directorates.

Recommendation No. 4

That the Director of ORD abolish the Special Projects Group and reassign its members to other elements of ORD.

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In the recent reorganization of ORD, the Special Projects Group was disbanded. [REDACTED]

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Recommendation No. 5

That the Director of ORD establish a formal mechanism within his office for the conduct of those functions specified in [REDACTED]

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With the formation of a Technology Projection Branch in the Intelligence Processing and Analysis Division, a formal mechanism has been established for monitoring those research activities which are being pursued within industrial, university and government research and development facilities so as to project the state-of-the-art in technologies essential to conducting the Agency's business. The results of these studies in particular areas will be disseminated to other components so as to identify development opportunities and critical research tasks which should be pursued. ORD is assisted in the task of research program definition by the Technical Coordinating Committee (TCC) and its panels, as spelled out in the Executive Director's memorandum of 8 March 1972.

Knowledge of on-going and proposed programs within ORD is disseminated to a wide cross-section of the Agency through formal presentations to the TCC, DDS&T Career Course, Senior Officer Seminar, Mid-Career Course, and informally by individual component discussions and briefings throughout the year. The development of a detailed R&D program in a "relevance tree" format has made it possible to lay out the entire ORD program in a fashion that associates all work being done in particular areas and defines its specific goals. In addition, ORD personnel have made many contributions to the DDS&T-sponsored publication, "R&D." Final reports on work performed on research contracts are maintained in the ORD library and are used to provide background data and foundations for work performed by other components throughout the Agency. Plans are underway to bring this material to the attention of more people during the coming year.

Recommendation No. 6

That the Director of ORD require that all contract proposals be forwarded immediately upon receipt to the contracting officer in the Procurement Management Staff for acknowledgment, recording, and review.

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Recommendation No. 6 has been implemented and the procedure strengthened by making the ORD Procurement Management Staff (PMS) the central point of record for control of all contract proposals submitted to ORD for action. The memorandum which implements this procedure and establishes it as a matter of record has been issued to all pertinent ORD management and staff personnel. A copy is attached for reference (Attachment 2).

Recommendation No. 7

That the Director of ORD consider revising the scheduling of contract proposals for review by the Contractor Selection Board to allow for the earliest possible Board review.

The original review board for ORD contracts was established only to consider sole source contract requests. The new Director, in line with Recommendation No. 7, established a Project Review Board (PRB) which replaces the original Contractor Selection Board, enlarges the membership of the group, and considerably expands the scope of its responsibilities. The PRB meets on a regularly scheduled basis and considers proposed contract actions prior to the preparation of a Blue Book. Decisions are then made on the course of action to be taken on the proposed contract effort. A copy of the memorandum (ORD-6232-72) establishing the PRB and the minutes of an early meeting are attached (Attachment 3).

Recommendation No. 8

That the Director of ORD consider establishing a formal mechanism for recording the substance of scientific and technical reviews conducted prior to submitting project proposals for review.

The responsibilities of the Project Review Board include a review of the precontract procedures followed by the responsible project officer. A list of the specific steps involved is attached. (Attachment 5) It is now required that a written statement revealing the results of a search for duplicative or supporting work be submitted. The problem is complex, however, and suitable standards for these searches have not yet been established. There is considerable variation in the extent of search required between individual contracts. In some cases, the unique nature of a proposed development is well nigh obvious; while in others, a specific project appears justified despite the existence of vast amounts of related work. Nevertheless, some general guidelines are being sought to facilitate this recommendation.

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~~SECRET~~Recommendation No. 9

That the Director of ORD consider establishing a central repository of information concerning R&D work that has been completed, is in progress, or is contemplated.

I believe we have already made some progress on this. As noted above, all Division Chiefs and members of the Office participate in designing the overall R&D program for ORD. This is done by establishing program areas (TREES) where all projects of a related nature are integrated so as to show how they contribute to the achievement of an approval goal. The full set of TREES composes ORD's R&D program, showing both the steps that have been taken in the past and those that are anticipated as near-term consequences of projects currently in progress. Over time, these compilations will provide a historical outline of all ORD's activities.

The broad composition of the Project Review Board encourages a wide exposure of the information available on all ORD projects and effects internal cooperation and coordination antecedent to the generation of programs for later contract action. The minutes of these meetings constitute an important record of the internal review given to all ORD projects.

Monthly Division Review meetings, which have been established by ORD Memorandum ORD-6233-72 (Attachment 4), surfaces a regular and frequent exposure of on-going work to the Office Director. These reviews have generated monthly substantive reporting procedures which regularly add information to the project file. This information will play an important part in the preparation of the final wrap-up which will serve to document the progress and degree of success attained.

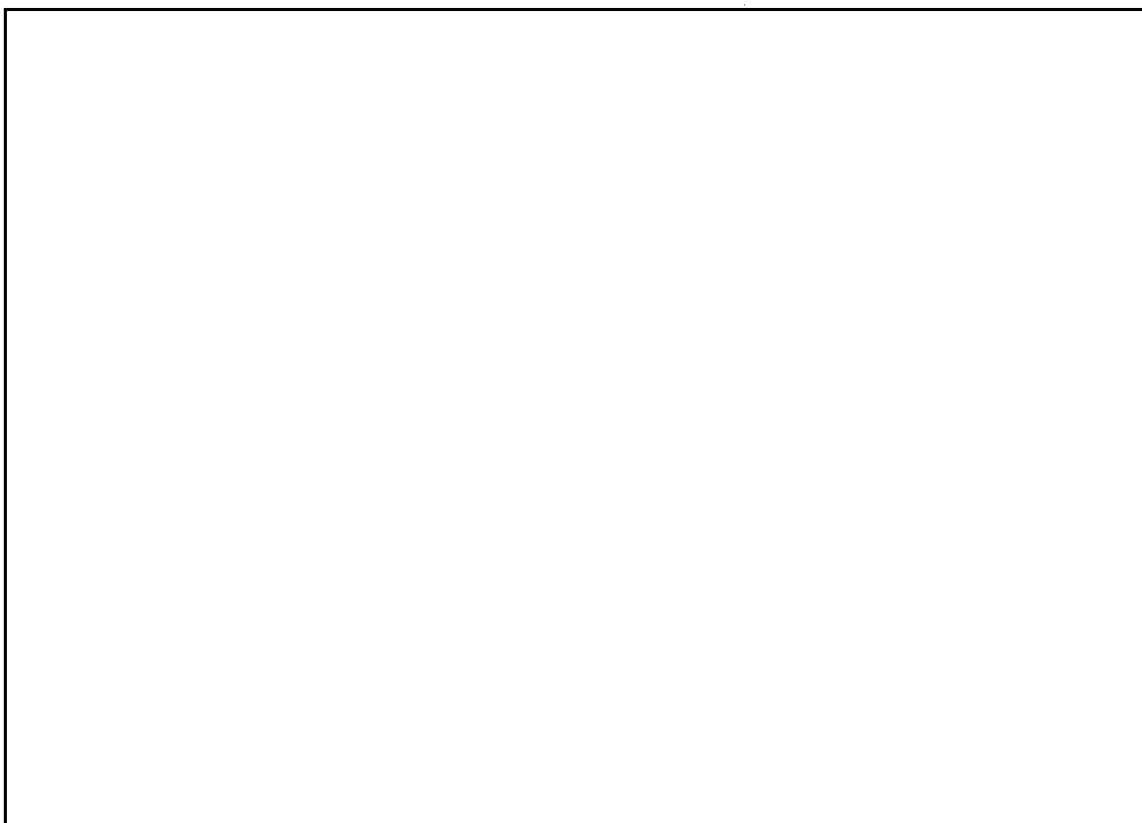
In addition to these active methods of recording and disseminating information about the activities of ORD, copies of the final reports resulting from completed contracts are maintained within the ORD Library. Improved information retrieval on subjects of interest is planned by expanding the ORD Library cataloging file. Files are also being put on microfiche to reduce storage space required and facilitate accessibility.

Recommendation No. 10~~SECRET~~

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Recommendation No. 12

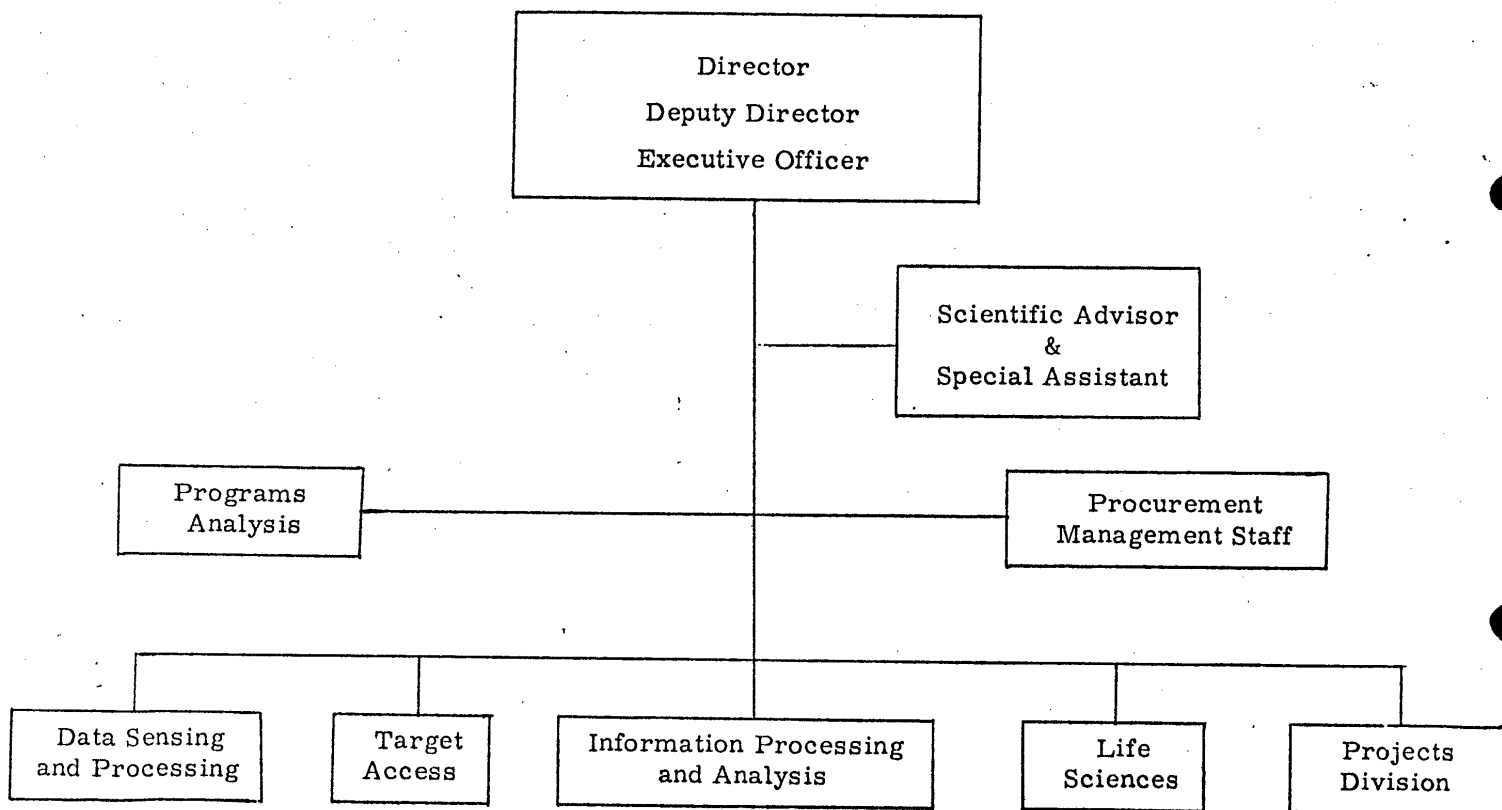
That the Director of ORD review present reporting standards and practices within ORD and revise them as he feels necessary to keep himself informed on the status of work in progress or planned for the future.

The monthly review of on-going projects discussed above was instituted specifically to ensure that the Director and other appropriate members of the Office be kept informed of work as it progresses in ORD. Thus far, these reviews are working well. Moreover, it is hoped that in the quarterly reviews of ORD activities by the DD/S&T, more attention can be given to accomplishments and problems associated with work in progress than has been possible in the past. With the evolution of an ordered program plan, it should be possible to present those actions proposed for the next quarter more simply and briefly than before.

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OFFICE OF RESEARCH AND DEVELOPMENT



ORD-6603-72

14 DEC 1972

MEMORANDUM FOR: Chief, TA/ORD
Chief, DSP/ORD
Chief, IPA/ORD
Chief, PD/ORD
A/Chief, LS/ORD
Chief, PMS/ORD
Chief, PAS/ORD
Chief, SS/ORD
Chief, ORD Registry

SUBJECT : Acknowledgment of Receipt of Proposals

One of the recommendations made by the IG staff as a result of their inspection concerned the procedure for handling proposals from potential contractors. They recommended that all proposals should be received by the ORD Procurement Management Staff for acknowledgment, recording, and review. In order to implement this recommendation, all contract proposals submitted by contractors must be sent directly to the Procurement Management Staff, who will then forward the proposal to the pertinent ORD Project Officer for further study, review, refinement of specifications and work statements, and subsequent procurement action.

STATINTL

Deputy Director of Research & Development

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31 October 1972

SUBJECT: Project Review Board

2. To get started, I would propose the following procedures: The Board itself will be chaired by me or by [] in my absence. It will comprise the Division Chiefs, the Chief of the Special Projects Group, the Scientific Advisor, the Special Assistant for Information Sciences, and the Chief of the Procurement Management Staff. Deputies may sit in for the principals when they cannot do so. SPG will serve as the secretariat for the Board where necessary. Front Office secretarial support will be made available where necessary. A secretary will sit in on the meetings and keep a record of the Board's proceedings. The Board will meet regularly in room 607 on an established day and time of each week.

3. In general, the Board will consider implementation decisions made necessary by earlier programming decisions and

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SUBJECT: Project Review Board

will provide full ORD approval of Blue Books in process. Examples of the first function are given by a review of a decision to seek a sole source contract or the review of the recommendations made as the result of a competitive proposal evaluation. In its second role, it is anticipated that all Blue Books forwarded during the week to SPG will be held for Board review at the earliest regularly scheduled meeting. In cases of particular urgency, special meetings of the Board can be called. Copies of any accompanying letters and the form 2420 will be distributed to Board members at some pre-scribed time before the meeting occurs. All Blue Books appearing before the Board will be discussed by the project officer, who will be present during the review. He should be prepared to answer any questions raised by the Board. It is hoped that the consideration of these matters will result in better reviews and a broader awareness of ORD activities than have been possible in the past.

4. In order to assure that the review of implementation decisions occurs before they are an accomplished fact, Division Chiefs will be expected to circulate to Board members at the time the Blue Books are distributed a notice of actions they intend to raise for Board review, such as, sole source decisions, contractor selections, and so on. This is to be done prior to any decisions being implemented or a Blue Book being prepared. Should this not be done, the Board will feel no compunction whatsoever in raising such basic questions at the time the Blue Books are submitted for review.

5. Obviously, these procedures will need elaboration and refinement; but at least they provide a basis on which the system can be inaugurated and tried. Suggestions for changes or improvements can be entertained at the Board meetings. It is proposed that the Board operate on the basis of a consensus rather than by any formal voting mechanism. Where the objections from a single member appear valid, steps may be recommended to alleviate his anguish. In some cases, the Chairman may choose to follow the lead of a minority. Whatever the case, divergent opinions should be succinctly and clearly established and recorded.

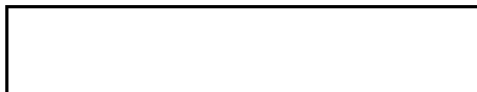
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SUBJECT: Project Review Board



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Sayre Stevens
Director of Research and Development

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